

**Administrative - Internal Use Only** PERS 77-2334  
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DD/A Registry
77-4010

13 JUL 1977

MEMORANDUM FOR: Deputy Director for Administration  
  
FROM : F. W. M. Janney  
Director of Personnel  
  
SUBJECT : OP Comments On Selected Recommendations by  
Various MAG Groups  
  
REFERENCE : Memo to DDA from Ex Asst to DCI, dtd 24 Jun 77,  
subj: Recommendations Summary

1. In response to the reference, the attached comments are forwarded with respect to those items designated for OP comment.
2. It is my understanding that ADMAG is preparing a response to item No. 15. While the Office of Personnel would like an opportunity to react to this paper, when prepared, we have not attempted to respond at this time. Of course, the entire continuum of recommendations prepared by Agency management by the Office of Personnel in the recent past have relevancy.
3. Some topics, such as item 41, have been noted as probably deserving further analysis and study. It is possible that the Agency could utilize a core of managers with intensive management training but that not all managers would need to be included. If such an approach were followed, it would be necessary to avoid the shoals of elitism.

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[Redacted]  
F. W. M. Janney

Attachment

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RECOMMENDATION # 1:

"Set up a small Office of Personnel Policy under the DDCI to establish overall personnel policy, monitor adherence, and handle career management of employees: GS-14 and above; on rotational assignments; on detail to other agencies and directed by an individual appointed from outside the Agency."

COMMENT:

This suggestion consists of two separate and distinct facets--the question of assigning responsibility for the development of Agency personnel policy to a new and separate staff at the DDCI level and secondly--a change of delegation for functional career and personnel management for a sizeable number of employees from the present Career Services to this new and separate staff.. We will comment separately on each of these proposals.

1. Re: Delegation of responsibility for establishing overall personnel policy and monitoring adherence to such policy.

(a) Under current Agency policy the Director of Personnel is responsible for: (1) developing and recommending (to the DCI) Agency policies, standards and procedures relative to Agency personnel management actions as carried out by the components; and (2) the administration of the Agency's personnel programs and services of common concern.

(b) The capacity of the Director of Personnel to provide the principal professional input on Agency personnel policy formulation is enhanced and reinforced by his collateral role and responsibility in both Agency personnel management matters (e.g. consultation, advice and guidance to operating officials on personnel policy and procedures, position classification, review and evaluation of personnel management operations within the Career Services and operating components) and Agency personnel administration (e.g. approval and processing Agency personnel transactions, operating a nationwide Agency recruitment program, and operation of the Agency's central benefits and services programs of common concern).

(c) The current scope of the responsibilities of the Director of Personnel provides a broad experiential base and resource to provide the DCI and the DDCI with the quality of advice so essential to sound managerial decision.

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The organizational location of the Office of Personnel within the Directorate of Administration has not inhibited the Director of Personnel from carrying out his independent responsibilities to the DCI and the DDCI relative to policy matters nor the evaluation and reporting on the effectiveness of personnel management within the Career Services and the operating components of the Agency--including the Directorate of Administration.

(d) The installation of a separate "Office of Personnel Policy" would divorce its functions from the informational and experience base derived from involvement with the management and administration of personnel programs by the Office of Personnel. Such an information base and the associated professional insights would be essential to the evaluation of sound Agency personnel policy and to the identification of changes desirable to meet the dynamic needs of Agency management and of the employees.

(e) The establishment of such a separate office would compound the dangers inherent in divided responsibility for personnel programs. The consequence of poor personnel policies and programs has resulted, in other agencies, in breaches of security and the impairment of organizational effectiveness. As the consequences could be so severe, accountability for personnel policies and programs should not be diffused more than is required to conform to the delegation of management responsibility among the Directorates. In the presence of such delegations, the evaluation function of the Director of Personnel assumes particular importance.

2. Re: Delegation of responsibility to a new staff at the DDCI level to handle career management of employees: GS-14 and above; on rotational assignments; on detail to other agencies.

(a) At the present time the responsibility for career and personnel management of the employee groups indicated is delegated to the Heads of Career Service.

Promotions of personnel to and within supergrade level is an authority retained only by the DCI.

The number of personnel that would be included in the three groups indicated is approximately [REDACTED] GS-14s and above, 220 annual rotatees between Directorates, 17 "details" out) and would require a sizeable staff element to effectively manage their careers.

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The employees in these categories are already well integrated into a career path associated with a specific Career Service/Directorate developmental program.

(b) The transfer of jurisdiction for career management for either the general grade groups GS-14 and above and for temporary periods while on rotation or detail could seriously complicate continuity of the employees' further development along their specific committed career tracks.

We do not see any measurable gains to either the Agency or individual employees in the proposal as presented.

RECOMMENDATION # 2:

"Make promotions of lower grade professionals more competitive to reduce the GS-14/15 bottleneck/bulge."

COMMENT:

On its face, this suggestion states that there would be fewer GS-14s and GS-15s if the GS-12s and GS-13s were promoted less rapidly. There is no evidence, however, that personnel in the lower grades are being promoted too rapidly. The average time-in-grade, according to APP data for FY 1976, is as follows for persons promoted to the designated grade:

GS-07 to 09 (in two promotions)	51 months
09 to 11 (in two promotions)	45
11 to 12	38
12 to 13	46
13 to 14	54
14 to 15.	62

At these average times it would take a GS-07 a total of 180 months to reach GS-13, or 15 years. These figures provide no indication that promotions in the lower professional grades are rapid.

The Office of Personnel considers that the bulge problem stems from a different cause, a very low rate of attrition. Thus, during FY 1976, there were only 56 supergrade losses, or approximately [redacted] percent, when [redacted] percent would be closer to expectation. In the same year, losses of GS-15s were only 67, or [redacted] percent.

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With respect to the rate of promotion in the lower grades, as in all professional grades, the following principles hold:

- ° promotions are based on comparative evaluation by boards and panels;
- ° there is an assessment that the individual can perform satisfactorily at the higher grade;
- ° an individual performing in a position of responsibility higher than present grade should be given consideration for the appropriate grade;
- ° guidelines for time-in-grade are considered but waived for exceptional employees;
- ° the number of promotions is controlled by the Career Service Grade Authorization (CSGA) and thus by the number of vacancies occurring.

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RECOMMENDATION #3:

"Reduce the numbers of managerial positions and layers to make room for specialists (persons not motivated for management careers but possessing special skills) at high grades."

COMMENT:

Sound position management concepts include the need for continuous vigilance on the part of component management to eliminate unjustified proliferation of "managerial" jobs and unnecessary organizational layering.

Consonant with this is the requirement to recognize the "specialist" and his/her expertise and the need to provide a reasonable "dual track" for advancement to higher grade levels within their areas of specialization.

At the present time there are approximately [redacted] percent STATINTL of our total higher graded positions GS-14 and above that are classified on the basis of substantive skills rather than managerial or supervisory content of the job. These include four supergrade level positions for Senior Analysts in the DDI, ten NIO's and thirty-three Scientific Pay Schedule positions, mostly assigned to the DDS&T.

Any reduction in the number of managerial positions and/or organizational layers or an increase in the number of "specialist" positions should be based on a review of actual requirements and not an arbitrary reduction simply to accommodate an increase in the number of higher graded specialist positions.

RECOMMENDATION #4:

"Relax time-in-grade standards for promotion."

COMMENT:

The newly revised regulation on promotion [redacted] states that "those employees who give indication that they will be exceptional performers at higher levels of responsibility should not be constrained by time-in-grade guidelines if they are otherwise qualified for advancement".

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In the Fall of 1976, promotion data for three grades (GS-14, 15, and 16) were reviewed. The data showed that for the Agency as a whole, the average time-in-grade of those promoted to these relatively senior grades was more than four years while some 10 percent of those promoted had been in grade fewer than two years. As part of this review, conversations were held with senior personnel officers from other Government agencies and from private corporations that indicated that this figure for "fast-track" promotions compared favorably with their own experience.

Though selective relaxation of time-in-grade standards is to be encouraged, such relaxation cannot be made across-the-board. What actually controls the rate of promotions is not arbitrary time-in-grade standards but rather the frequency with which vacancies are created through separation or advancement. As it happens, this process of vacancy creation is currently very slow, with notable effect on promotions and some restiveness to be expected from employees experiencing long time-in-grade.

RECOMMENDATION #5:

"Shift responsibility for job specification/grade-level definition from Position Management and Classification to the local manager."

COMMENT:

1. Experiences of other organizations with decentralization of responsibility and authority for position classification and grade setting from a centralized and "neutral" office to the local manager have been at the minimum unsatisfactory and at worst disastrous in terms of loss of objectivity, program quality and particularly, position grade equity between comparable jobs in other internal and external organizations.

In addition to the loss of equity, experience has shown that a decentralized system--when properly implemented and monitored--requires extensive regulatory/rule/oversight application and enforcement and greater number of personnel to accomplish the same tasks than would a centralized system.

Such experiments with decentralized classification by the Department of State demonstrated that local managers have too much vested involvement with their programs and their personnel to maintain an objective approach to classification.

The results were the creation of disparities and a massive escalation in grade levels. This was followed by a return to a fully centralized and authoritative classification system currently involved in attempting to resolve massive problems of unwarranted position grade escalation.

To ensure that the Agency's exercise of our independent authorities for position classification is not subject to criticism, the principle of equal pay for equal work must be maintained. Such equity must be maintained not only within individual components, but also within the Agency at large with an additional relationship to Government-wide pay equity.

2. By way of background, the Inspector General survey of the Office of Personnel (IG report dated March 1976) addressed the question of whether there should be a decentralization of the Agency's Position Classification effort. This issue was subsequently discussed with the DDCI who determined that the position classification effort should remain centralized and that the Director of Personnel would retain responsibility for the function.

The Inspector General survey report also concluded that PMCD should accelerate the development and trial implementation of improved position evaluation standards and methods similar to the Factor Evaluation System being developed by CSC for Government-wide implementation. PMCD is continuing its efforts to develop position standards, and managers are being given the opportunity to participate in the development of all such standards.

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RECOMMENDATION #6:

"Expand use of Civil Service Commission practice of the double-jump promotion at the lower professional grades."

COMMENT:

This subject has been considered by the Executive Advisory Group in meetings on 10 May 1977 and 14 June 1977. The Office of Personnel was asked to prepare estimates of the cost of returning to such a policy, with consideration of the transition period which might involve some adjustment of grade for employees recently promoted by a single grade. Such a paper has been prepared, though not yet considered by the EAG. The paper finds that the first year cost of transition might be on the order of \$400,00 but that in later years there might even be some saving on the assumption that the total lapsed time between GS-07 and 09, and 09 and 11, does not reduce markedly. The saving, of course, would accrue from the absence of an intervening promotion. The Office of Personnel realizes that the suggestion to resume two-grade promotions stems from employees who hope that the double promotions might occur as rapidly as the single promotions, but in that event the added cost would be more than \$700,000 annually. It is likely that there can be some reduction in the total lapsed time between GS-07 and 09, and 09 and 11, and a consequence would be some increase in the cost of promotions.

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RECOMMENDATION #7:

"Reinstitute/formalize a three year trial/probationary period for all newly hired employees."

COMMENT:

A three year trial period was established 10 May 1977 for all employees entering on duty after that date. Headquarters [redacted] Notices have been issued on the subject and regulations are being revised to reflect the change.

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This is a new policy for the Agency. While prior to 1973 there was a three year Career Provisional program leading to Career status, the employment trial or probationary period remained at one year in accordance with Federal Government procedures and Title 5 requirements.

A copy of the Trial Period Notice is attached. The DCI's Head of Agency termination authority was delegated to the Director of Personnel for the three year period. Provision is made for the employee to appeal to the DCI when the Director of Personnel's decision is made in the third year.

This Notice Expires 1 July 1978

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PERSONNEL

24 June 1977

### EXTENSION OF THE TRIAL PERIOD FOR NEW EMPLOYEES

1. Effective 10 May 1977 the trial period for new employees of the Agency was extended from one year to three years. The trial or probationary period has been the subject of a detailed Agency study and it has been determined that one year does not provide an adequate time frame in which to make a reasoned judgment of an employee's abilities and talents. The Agency's tasks and assignments often require lengthy training periods for new employees, making it difficult to obtain meaningful performance evaluation after only 12 months of service. The three-year period will give both the employee and management a more realistic period for assessment of the individual's qualifications.

2. During the first two years of the trial period, involuntary termination of employment may be effected by the Director of Personnel on the recommendation of the Head of the employee's Career Service. During the third year of the trial period, involuntary termination of employment may also be effected by the Director of Personnel; however, the Director of Personnel's decision may be appealed to the Director of Central Intelligence for review.

3. The career selection process is a vitally important function in the management of the Agency, and it is essential that careful reviews and determinations be made during the trial period that employees do or do not meet Agency suitability standards for continued employment. The effectiveness of this depends on the thoroughness of the evaluation procedures used within each Career Service. Since the Fitness Report system is a key factor in documenting the evaluation of the employee's performance during the trial period, a recommendation, to be included as the first sentence of the narrative part of the Fitness Report, for either continuation of employment or termination, is required before the end of each year of the trial period. When the level of performance is in question, but management has determined that the employee deserves additional time or another assignment to provide the basis for further assessment, a separate memorandum, acknowledged by the employee, must be prepared to accompany the Fitness Report explaining the situation. Recommendations for termination, of course, need not be delayed to coincide with the due date of the Fitness Report but may be made anytime during the trial period.

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[REDACTED] PERSONNEL

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4. Proposals for termination during the trial period will be formalized in a memorandum from the Operating Official to the Head of the Career Service for recommendation to the Director of Personnel. Recommendations for termination after the second year of the trial period will include an explanation by the Head of the Career Service as to the factors that precluded an earlier recommendation for termination. Early resolution must be made of apparent cases of unsuitability or poor performance. Neither the employee nor the Agency benefits by the avoidance or delay of the management responsibility to determine whether new employees should be retained or not.

5. To provide for adequate advance notice to employees and time to present appeals, the following is the schedule for submission of Fitness Reports during the trial period:

At the end of 12 months of service  
At the end of 21 months of service  
At the end of 33 months of service

6. Agency regulations concerning this subject will be modified as appropriate to reflect this new policy.

FOR THE DIRECTOR OF CENTRAL INTELLIGENCE:

JOHN F. BLAKE  
Deputy Director  
for  
Administration

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RECOMMENDATION #8:

"Disseminate more widely career planning data, especially regarding ceilings, promotion rates, etc."

COMMENT:

At the present time information on the subject of career planning comes to employees largely from periodic generalized messages from career service officials in either written or oral form. Often, however, the message lacks specificity.

The handbooks published by each of the Career Services offer employees particulars about the selection and promotion process as it pertains. Developmental profiles, also currently available to employees of each of the Career Services, relate those considerations affecting management career development decisions and provide specific guidelines and a frame of reference for employees as they appraise their readiness for a career change. To further bolster the data available for career planning purposes, the Career Services might offer additional information from their Annual Personnel Plans (APP). Information relating to projections for the current planning year could cast more light on reassignment or promotion prospects for employee consumption, but some of this information may be too sensitive on--security grounds--for general release.

Individual career planning information is becoming available through each Career Service's counseling program. Career counselors appointed to serve within each of the Career Services have a responsibility for helping the employee to identify alternative choices of action. Career Boards and Panels and data from the Personnel Development Program (PDP) are vital sources of information for career counselors in their effort to help individual employees deal with career planning issues or concerns.

In early 1976 the Agency organized a Careers Committee to facilitate the exchange of information on career-related matters among the Career Services. One of the Career Committee objectives is "to encourage the development of realistic expectations among Agency employees relative to their Agency careers by periodically informing them of specific facts, policies, and other considerations bearing on employee development or reassignment decision making". It is the Committee's express intention to provide information to employees about career planning matters which will complement the efforts of the individual Career Services.

RECOMMENDATION #9:

"Examine the possibility of setting up distinct panels involved in evaluation and career planning for employee pool (GS-14/15) from which future supergrades will be drawn."

COMMENT:

1. The Personnel Development Plan (PDP) is the system currently utilized in the Agency whereby the Heads of Career Services identify officers at the GS-13 - 15 level as the future candidates for senior Directorate managerial and executive positions.

Such individuals are provided individualized training and development in managerial and executive skills and their on-going progressive development is to be closely monitored by the Career Service concerned.

2. The PDP system includes in its design provisions for:

(a) a formal annual reporting requirement from each Head of Career Service through the Director of Personnel to the DCI on actions taken in the identification and development planning of their "successor" candidates; and

(b) Discussion by each Head of Career Service with the DCI on the personnel identified in their PDP, their backgrounds, planned training and developmental assignments, and rationale for their selection.

3. The PDP as currently established and if fully implemented as designed has provided an effective mechanism for top management to monitor and evaluate the numbers and quality of the individuals identified for future Directorate senior managerial and executive positions and the specific training and assignments planned for their development.

4. Among the several Agency personnel management topics currently under consideration by the EAG, is the development of an EAG review mechanism to identify officers for development as candidates for future replacement of "Key Official" positions throughout the Agency.

The further refinement of this approach could include the identification of those senior Agency positions that required inter-Directories experiences and orientation and the development of appropriate managerial and executive "standards" against which to develop a pool of potential successor candidates for such positions.

RECOMMENDATION #10:

"Examine the desirability of developing procedures for disposition/handling of the lowest rank employee."

COMMENT:

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[redacted] issued recently were revised to reflect current Agency policy and procedures for Separations, Voluntary and Involuntary.

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[redacted] is specifically addressed to the process for the identification of the bottom three percent of employees of any group ranked, Career Service review and action, and employee notification. Employees who are ranked in the low percentile for two successive years are subject to reassignment, downgrading or separation.

The identification of the lower percentile of employees has been Agency practice for a number of years, but the Career Services were allowed to establish their own percentiles and follow-up processes. The revised regulation formalizes a common policy and procedures for the Agency. As a follow-up to the policy, the APP requires a summary statistical report of the number of employees so identified and action taken in the individual cases.

RECOMMENDATION #36:

"Give the Suggestion Awards Committee sufficient authority to act on suggestions so that it does not serve as an intermediary between the "suggestor" and the component affected by the suggestion."

COMMENT:

1. The now designated Suggestion and Achievement Awards Committee already has sufficient authority to act on suggestions for the benefit of the U.S. Government and the Agency. The Committee does not serve only as an intermediary between the "suggestor" and the component affected by the suggestion.

2. The Committee has Agency-wide responsibility for the Suggestion, Invention and Achievement Awards Program. The six-voting members are appointed by top-Agency management as follows: the Director of Personnel is permanent chairman; the Director of Central Intelligence and the four Deputy Directors each appoint one member and one alternate. The Committee is responsible for: developing standards for awards and for procedures relating to such awards; and, for reviewing suggestions, inventions, special achievements or exceptional accomplishment cases, and for granting or recommending an appropriate award. (Reference: Paragraph c, [redacted] 4 February 1975).

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3. The key objective of the Suggestion System is to improve the efficiency and effectiveness of Government and Agency operations by encouraging full use of employee skills and ideas. Generally speaking, this is an employee relations type program. The encouragement we give employees for their efforts is significant. Every possible adopted suggestion benefits management. The awards scale is relatively low and only pays for first-year savings and benefits; yet, many inventions and suggestions continue in effect for years with repeated benefits annually. For this reason, through the Committee mechanism, we seek positive evaluations of suggestions and considerations of every good reason as to why a given proposal should be adopted.

4. In instances where seemingly good ideas and proposals are recommended for decline by the evaluation components, the Committee may and does seek added study and more definitive explanation from the initial evaluators and may also use independent evaluators. Obviously, the Committee also has the authority to seek re-examination of substantive proposals through command channels. Finally, a suggestor may submit a proposal for reconsideration for up to two years from the date of the Committee's letter of decline.

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RECOMMENDATION #37:

"Eliminate the practice of awarding people for suggestions that should be considered integral parts of their jobs."

COMMENT:

1. Awards are not made for suggestions that are in fact simply a normal requirement of the duties of the individual's position. The Committee looks carefully at line of duty factors and does not vote for a cash award unless the suggestor's contribution is so superior as to warrant recognition. In most cases, the ideas and improvements that employees report or suggest have some relationship to their work. This is the logical area in which we could expect employees to perceive proposals for improvement.

2. Title 5, United States Code, Chapter 45, Incentive Awards, Section 4503, stipulates that: the head of an agency may pay cash awards to, and incur necessary expense for the honorary recognition of, an employee who: (a) by his/her suggestion, invention, superior accomplishment, or other personal effort contributes to the efficiency, economy, or other improvement of Government operations; or (2) performs a special act or service in the public interest in connection with or related to his/her official employment.

3. In administering Chapter 45, Title 5, United States Code, "Incentive Awards", the U.S. Civil Service Commission states that:

(a) There is no basis for excluding from the cash award program any officer or employee category because of grade level or type of duties involved.

(b) Contribution may be either (1) outside the employee's assignment, or (2) within the employee's assignment but so superior or meritorious as to warrant special recognition.

"Line of Duty" guidance information issued by CSC which we apply in judging job expectancy and awardability criteria is attached. This same guidance information is followed by other Government agencies in the administration of their awards program.

4. The essence of the Suggestion Program is the search for new ideas. We seek to acquire evaluations that are designed to explore fruitfully only the idea. Only when the full exploitation of the idea has been achieved, does the personality and job expectancy of the contributor come into play. That is only when an award is under consideration. In such instances our Committee has found that the attached CSC standards offer excellent guidance.

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as exceeded  
the normal requirements in order to pro-  
perly set the amount of award.

## Line of Duty



From time to time the Commission receives requests for clarification on what is considered "line of duty." We hope the following will be helpful to you in this regard.

### Eligibility

- (1) The Government Employees Incentive Awards Act states, in part, that agencies may pay "cash awards to civilian officers or employees," and the law makes it quite evident that both Congress and the President intended the incentive awards program to be an all-inclusive, top-to-bottom program. There is no basis for excluding from the cash award program any officer or employee category because of grade level or type of duties involved.
- (2) Contributions may be either (1) outside the employee's assignment, or (2) within the employee's assignment but so superior or meritorious as to warrant special recognition.

Line of Duty One of the greatest problems in the incentive awards program is the determination of what constitutes line of duty. Some supervisors have interpreted this important element in such a manner that their programs have suffered accordingly. While the general approach of resolving doubts in favor of the employee is favored, this is not a give-away program. Awards should be granted only where justified and in proportion to the benefits that the Government derives from the contributions. The following should assist the people who are responsible for determining line of duty in connection with awards:

- (1) Normal Duties. No employee shall be paid an award for any contribution or performance which represents a part of the normal requirements of the duties of his position. The difficulty of interpreting the phrase "normal requirements" is obvious. Extreme interpretations of the term will result in either a minimum number of cash awards or in cash awards that cannot be fully justified. Good judgment can avoid both extremes. Consider position descriptions, performance requirement statements, supervisor's interpretations, etc. A factor which is often important is whether or not it was necessary to obtain the approval of higher authority in order to place a suggestion into effect. In making awards for superior performance, it is first necessary to determine the performance requirements of the employee's job. Then it must be determined to

### (2) Ideas from Supervisors or Management

Supervisors or management officials are eligible to receive awards for suggestions pertaining to work outside their area of supervision and which are adopted for use in organizational units other than their own. As the level of supervision rises in the organization, the breadth of areas of responsibility increases, thereby reducing the area in which supervisors' suggestions would be eligible for cash awards. Some positions by their very nature require the contribution of ideas regularly. Since such employees are paid in salary to contribute ideas it would ordinarily be inconsistent with the purpose of the law to give supplementary recognition by means of cash awards.

- (3) Ideas from Non-Supervisory Employees. Normal requirements for non-supervisory employees usually cover day-by-day production by following established processes and instructions, and using the materials and equipment provided. Suggestions or ideas pertaining to this immediate work area which the individual can place into operation without consulting higher authority and which affect his work alone would be considered as within normal duties. However, if the improvement idea is extended by management to other similar positions or other work areas, then a cash award is normally due.

- (4) Field Supervisory Employees. Supervisory positions often present a problem because of the rather wide local responsibilities assigned; for example, it may be held that the overall local responsibility of a field station payroll section chief automatically prevents cash awards to him for any contribution having to do with payroll matters. However, it must be kept in mind that policies and procedures for fiscal and payroll matters are as a rule promulgated from the main office and put out in the form of a handbook or manual. This also applies to other fields where the policies and procedures are standardized. Therefore, careful consideration should be given as to the supervisor's authority to authorize or effect changes. In these cases, a line might be drawn between local eligibility and eligibility elsewhere. If, in the above example, the section chief's suggestion is found to be of use outside his own office, in other stations or throughout his agency, he can properly be found ineligible for award on local use but eligible for award on non-local use.

- (5) Assigned Problems. If, in carrying out an assignment, an employee submits an idea above and beyond his assigned area of responsibility or the solution of the immediate problem assigned, or completes an assignment in a manner that is considered superior to that originally anticipated, cash award consideration is in order for either the idea or the superior performance.

RECOMMENDATION #39:

"Develop a systematic managerial development program to ensure individuals are trained in appropriate managerial skills before progressing to the next managerial level."

COMMENT:

1. The Personnel Development Program (PDP) instituted in the Agency in 1973 provides a systematic program along the lines of the proposal. It provides for the selection of certain officers in grades GS-13 and above who have evidenced talents for executive assignment, and an individually designed program to provide them with the basic training and experience needed to develop their managerial and executive skills. The programs, of course, are not identical for each officer but are tailored to the individual's requirements.

The Agency's internal Management Training Program has been designed and developed to meet the needs of Agency managers as they progress from one managerial level to the next. This begins with the first-line supervisor, who is exposed to the basic theories of good management and supervision in the "Fundamentals of Supervision and Management" Course to the most senior management courses designed for supergrade officers.

Planned internal training is supplemented when appropriate by courses offered by the U.S. Civil Service Commission, the American Management Association and similar institutions or at universities recognized for their management training programs such as at Harvard or Michigan.

2. If the proposal is meant to imply a rigid program of training courses for each upward move will produce qualified managers, we would have to question the premise. Such a requirement would produce little more than adherence to a program. Management can well be considered an art and not everyone can or should be expected to perform its arcane rites in exactly the same fashion. Granted some techniques can be taught, but when rigidly applied, without understanding or personal style, to the individual situations of employees and the disciplines being managed, it can become management for management's sake. It is not a productive process in these circumstances.

For an Agency such as CIA with its diverse disciplines and Directorate objectives, a rigid, inflexible developmental program would serve no effective purpose.

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In summary, the key to the development of successful managers is a responsible selection process, followed by a carefully developed program of training and experience designed for individual requirements. The PDP offers the Agency such a system; senior managers must insure it is effectively implemented.

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RECOMMENDATION #40:

"Expand the Directorate-level management intern program to the office and group-levels, giving potential managers opportunities for additional administration experience."

COMMENT:

Assumption: The Directorate-level management intern program referred to is the existing senior DD/A Personnel Rotation Program.

Agency management has for some time been concerned about the lack of multi-discipline development of Agency officers who might assume executive positions in the future. In an attempt to remedy this situation, the DD/A established a rotational program which will provide individuals with additional experiences in the diverse functions of Administration.

It is anticipated that a similar rotation program will be developed for officers at the GS-9-13 level, in order to provide potential managers with the opportunity to gain additional administrative experience.

However, since this venture is a relatively new one, final judgment must be reserved on its continuation or expansion until the success or failure of this first phase is determined.

The Personnel Development Plan, which is the present system utilized in the Agency for the identification and movement of qualified officers into higher managerial positions has not been properly used in many of the inter-Directorate and intra-Directorate rotational assignments and executive development Training Programs. The Deputies have been advised of this shortcoming and it is anticipated that all future officers involved in special rotational Programs and Executive Training will be PDP designated individuals.

RECOMMENDATION #41:

"Consider a managerial career service, enabling people to be evaluated and promoted on their managerial skills."

COMMENT:

1. The ramifications and need for conformation of separate managerial career service to be properly evaluated would require more time and study than allowed in this paper. Provided herein, however, are a few brief overview considerations of such a proposal. It should be noted beforehand that if the concern for a separate service is to insure the evaluation and promotion of managers, per se, the Agency system provides for the career development of both managers and specialists, and neither is advanced at the expense of the other. Contrary to the implication here is a sometimes expressed concern that managers are advanced more rapidly and to higher grades than specialists. Both viewpoints have their adherents.

2. While there may be some GS-13 positions considered to have managerial responsibilities, the more normal beginning locus for this function is at the GS-14 or GS-15 Branch Chief level. Prior to this level the status is usually that of a supervisor, with a meld of the responsibilities gradually developing until the grade GS-15 where the management responsibilities most often begin to assume the major importance. Agency practice has been to develop managers from the specialist body of employees, providing the experience and training needed for the development of the managerial skills over a period of time as the employee moves up the career ladder. This system has the advantage of developing managers with sufficient substantive knowledge to successfully handle the offices composed of specialist employees. The lack of intensive or sanctioned managerial training in this system may be considered a disadvantage, but when the individual is gradually . . . and properly . . . developed over a period of time, we believe the end result is the same.

3. There are two approaches to the concept of a separate managerial career service. Establish it at a sufficiently senior grade to allow for selection from the proven employee group who has moved from the specialist field into management, utilizing the particular specialist background as a base, or establish a career track designed only for management functions. Given the diverse operational cultures and objectives of the various Directorates of the Agency, we do not believe a single management track for the Agency as a whole would prove feasible. Further, as noted above, management responsibilities evolve gradually and it would be difficult to break them out as a totally separate function and isolate them from the full scope of duties necessary for development of the individual.

4. The current Agency system instituted for the development of managers is geared to the Agency's present decentralized personnel and career management philosophy and the rationale inherent in this particular approach. This system has been construed as being effective in meeting the requirements of the Directorates and in turn the Agency at large.

Date: 25 JUL 1967

Approved For Release 2002/01/08 : CIA-RDP80-00473A000300070003-3

TO: Deputy Director for Administration

FROM: Executive Assistant to the DCI

ECT: Recommendations Summary

77-3693

REFERENCE

REMARKS:

Attached is a list of the recommendations provided to the Director by the various MAG groups. Those with the check marks have either been accomplished by the Director or need no further analysis for his decision on implementation.

Would you please provide a pro/con summary on the other recommendations for the Director's decision? \*

STATINTL

[Redacted]  
Attachment

STATINTL

VIA DDCI  
[Redacted]

27 JUN 67

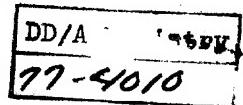
DDCI

ATTACHMENT

Form 99-8  
163a

Approved For Release 2002/01/08 : CIA-RDP80-00473A000300070003-3

PERS 77-2334



13 JUL 1977

MEMORANDUM FOR: Deputy Director for Administration  
  
FROM : F. W. M. Janney  
Director of Personnel  
  
SUBJECT : OP Comments On Selected Recommendations by  
Various MAG Groups  
  
REFERENCE : Memo to DDA from Ex Asst to DCI, dtd 24 Jun 77,  
subj: Recommendations Summary

1. In response to the reference, the attached comments are forwarded with respect to those items designated for OP comment.
2. It is my understanding that ADMAG is preparing a response to item No. 15. While the Office of Personnel would like an opportunity to react to this paper, when prepared, we have not attempted to respond at this time. Of course, the entire continuum of recommendations prepared by Agency management by the Office of Personnel in the recent past have relevancy.
3. Some topics, such as item 41, have been noted as probably deserving further analysis and study. It is possible that the Agency could utilize a core of managers with intensive management training but that not all managers would need to be included. If such an approach were followed, it would be necessary to avoid the shoals of elitism.

(Signed) F. W. M. Janney

F. W. M. Janney

Attachment

Distribution:

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2 - D/Pers  
1 - OP/P&C

STATINTL

OP/P&C/ [REDACTED] ks (12 Jul 77)

~~ADMINISTRATIVE - INTERNAL USE ONLY~~

RECOMMENDATION # 1:

"Set up a small Office of Personnel Policy under the DDCI to establish overall personnel policy, monitor adherence, and handle career management of employees: GS-14 and above; on rotational assignments; on detail to other agencies and directed by an individual appointed from outside the Agency."

COMMENT:

This suggestion consists of two separate and distinct facets--the question of assigning responsibility for the development of Agency personnel policy to a new and separate staff at the DDCI level and secondly--a change of delegation for functional career and personnel management for a sizeable number of employees from the present Career Services to this new and separate staff. We will comment separately on each of these proposals.

1. Re: Delegation of responsibility for establishing overall personnel policy and monitoring adherence to such policy.

(a) Under current Agency policy the Director of Personnel is responsible for: (1) developing and recommending (to the DCI) Agency policies, standards and procedures relative to Agency personnel management actions as carried out by the components; and (2) the administration of the Agency's personnel programs and services of common concern.

(b) The capacity of the Director of Personnel to provide the principal professional input on Agency personnel policy formulation is enhanced and reinforced by his collateral role and responsibility in both Agency personnel management matters (e.g. consultation, advice and guidance to operating officials on personnel policy and procedures, position classification, review and evaluation of personnel management operations within the Career Services and operating components) and Agency personnel administration (e.g. approval and processing Agency personnel transactions, operating a nationwide Agency recruitment program, and operation of the Agency's central benefits and services programs of common concern).

(c) The current scope of the responsibilities of the Director of Personnel provides a broad experiential base and resource to provide the DCI and the DDCI with the quality of advice so essential to sound managerial decision.

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The organizational location of the Office of Personnel within the Directorate of Administration has not inhibited the Director of Personnel from carrying out his independent responsibilities to the DCI and the DDCI relative to policy matters nor the evaluation and reporting on the effectiveness of personnel management within the Career Services and the operating components of the Agency--including the Directorate of Administration.

(d) The installation of a separate "Office of Personnel Policy" would divorce its functions from the informational and experience base derived from involvement with the management and administration of personnel programs by the Office of Personnel. Such an information base and the associated professional insights would be essential to the evaluation of sound Agency personnel policy and to the identification of changes desirable to meet the dynamic needs of Agency management and of the employees.

(e) The establishment of such a separate office would compound the dangers inherent in divided responsibility for personnel programs. The consequence of poor personnel policies and programs has resulted, in other agencies, in breaches of security and the impairment of organizational effectiveness. As the consequences could be so severe, accountability for personnel policies and programs should not be diffused more than is required to conform to the delegation of management responsibility among the Directorates. In the presence of such delegations, the evaluation function of the Director of Personnel assumes particular importance.

2. Re: Delegation of responsibility to a new staff at the DDCI level to handle career management of employees: GS-14 and above; on rotational assignments; on detail to other agencies.

(a) At the present time the responsibility for career and personnel management of the employee groups indicated is delegated to the Heads of Career Service.

Promotions of personnel to and within supergrade level is an authority retained only by the DCI.

The number of personnel that would be included in the three groups indicated is approximately [REDACTED] GS-14s and above, 220 annual rotatees between Directorates, 17 "details" out) and would require a sizeable staff element to effectively manage their careers.

STATINTL

The employees in these categories are already well integrated into a career path associated with a specific Career Service/Directorate developmental program.

(b) The transfer of jurisdiction for career management for either the general grade groups GS-14 and above and for temporary periods while on rotation or detail could seriously complicate continuity of the employees' further development along their specific committed career tracks.

We do not see any measurable gains to either the Agency or individual employees in the proposal as presented.

RECOMMENDATION # 2:

"Make promotions of lower grade professionals more competitive to reduce the GS-14/15 bottleneck/bulge."

COMMENT:

On its face, this suggestion states that there would be fewer GS-14s and GS-15s if the GS-12s and GS-13s were promoted less rapidly. There is no evidence, however, that personnel in the lower grades are being promoted too rapidly. The average time-in-grade, according to APP data for FY 1976, is as follows for persons promoted to the designated grade:

GS-07 to 09 (in two promotions)	51 months
09 to 11 (in two promotions)	45
11 to 12	38
12 to 13	46
13 to 14	54
14 to 15	62

At these average times it would take a GS-07 a total of 180 months to reach GS-13, or 15 years. These figures provide no indication that promotions in the lower professional grades are rapid.

The Office of Personnel considers that the bulge problem stems from a different cause, a very low rate of attrition. Thus, during FY 1976, there were only 56 supergrade losses, or approximately [redacted] percent, when [redacted] percent would be closer to expectation. In the same year, losses of GS-15s were only [redacted] percent.

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With respect to the rate of promotion in the lower grades, as in all professional grades, the following principles hold:

- ° promotions are based on comparative evaluation by boards and panels;
- ° there is an assessment that the individual can perform satisfactorily at the higher grade;
- ° an individual performing in a position of responsibility higher than present grade should be given consideration for the appropriate grade;
- ° guidelines for time-in-grade are considered but waived for exceptional employees;
- ° the number of promotions is controlled by the Career Service Grade Authorization (CSGA) and thus by the number of vacancies occurring.

AUGUSTINATIVE INTERNAL USE ONLY

RECOMMENDATION #3:

"Reduce the numbers of managerial positions and layers to make room for specialists (persons not motivated for management careers but possessing special skills) at high grades."

COMMENT:

Sound position management concepts include the need for continuous vigilance on the part of component management to eliminate unjustified proliferation of "managerial" jobs and unnecessary organizational layering.

Consonant with this is the requirement to recognize the "specialist" and his/her expertise and the need to provide a reasonable "dual track" for advancement to higher grade levels within their areas of specialization.

At the present time there are approximately [redacted] percent of our total higher graded positions GS-14 and above that are classified on the basis of substantive skills rather than managerial or supervisory content of the job. These include four supergrade level positions for Senior Analysts in the DDI, ten NIO's and thirty-three Scientific Pay Schedule positions, mostly assigned to the DDS&T.

STATINTL

Any reduction in the number of managerial positions and/or organizational layers or an increase in the number of "specialist" positions should be based on a review of actual requirements and not an arbitrary reduction simply to accommodate an increase in the number of higher graded specialist positions.

AUGUSTINATIVE - INTERNAL USE ONLY

RECOMMENDATION #4:

"Relax time-in-grade standards for promotion."

COMMENT:

The newly revised regulation on promotion [redacted] states that "those employees who give indication that they will be exceptional performers at higher levels of responsibility should not be constrained by time-in-grade guidelines if they are otherwise qualified for advancement".

STATINTL

In the Fall of 1976, promotion data for three grades (GS-14, 15, and 16) were reviewed. The data showed that for the Agency as a whole, the average time-in-grade of those promoted to these relatively senior grades was more than four years while some 10 percent of those promoted had been in grade fewer than two years. As part of this review, conversations were held with senior personnel officers from other Government agencies and from private corporations that indicated that this figure for "fast-track" promotions compared favorably with their own experience.

Though selective relaxation of time-in-grade standards is to be encouraged, such relaxation cannot be made across-the-board. What actually controls the rate of promotions is not arbitrary time-in-grade standards but rather the frequency with which vacancies are created through separation or advancement. As it happens, this process of vacancy creation is currently very slow, with notable effect on promotions and some restiveness to be expected from employees experiencing long time-in-grade.

RECOMMENDATION #5:

"Shift responsibility for job specification/grade-level definition from Position Management and Classification to the local manager."

COMMENT:

1. Experiences of other organizations with decentralization of responsibility and authority for position classification and grade setting from a centralized and "neutral" office to the local manager have been at the minimum unsatisfactory and at worst disastrous in terms of loss of objectivity, program quality and particularly, position grade equity between comparable jobs in other internal and external organizations.

In addition to the loss of equity, experience has shown that a decentralized system--when properly implemented and monitored--requires extensive regulatory/rule/oversight application and enforcement and greater number of personnel to accomplish the same tasks than would a centralized system.

Such experiments with decentralized classification by the Department of State demonstrated that local managers have too much vested involvement with their programs and their personnel to maintain an objective approach to classification.

The results were the creation of disparities and a massive escalation in grade levels. This was followed by a return to a fully centralized and authoritative classification system currently involved in attempting to resolve massive problems of unwarranted position grade escalation.

To ensure that the Agency's exercise of our independent authorities for position classification is not subject to criticism, the principle of equal pay for equal work must be maintained. Such equity must be maintained not only within individual components, but also within the Agency at large with an additional relationship to Government-wide pay equity.

2. By way of background, the Inspector General survey of the Office of Personnel (IG report dated March 1976) addressed the question of whether there should be a decentralization of the Agency's Position Classification effort. This issue was subsequently discussed with the DDCI who determined that the position classification effort should remain centralized and that the Director of Personnel would retain responsibility for the function.

The Inspector General survey report also concluded that PMCD should accelerate the development and trial implementation of improved position evaluation standards and methods similar to the Factor Evaluation System being developed by CSC for Government-wide implementation. PMCD is continuing its efforts to develop position standards, and managers are being given the opportunity to participate in the development of all such standards.

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Approved For Release 2002/01/08 : CIA-RDP80-00473A000300070003-3

RECOMMENDATION #6:

"Expand use of Civil Service Commission practice of the double-jump promotion at the lower professional grades."

COMMENT:

This subject has been considered by the Executive Advisory Group in meetings on 10 May 1977 and 14 June 1977. The Office of Personnel was asked to prepare estimates of the cost of returning to such a policy, with consideration of the transition period which might involve some adjustment of grade for employees recently promoted by a single grade. Such a paper has been prepared, though not yet considered by the EAG. The paper finds that the first year cost of transition might be on the order of \$400,00 but that in later years there might even be some saving on the assumption that the total lapsed time between GS-07 and 09, and 09 and 11, does not reduce markedly. The saving, of course, would accrue from the absence of an intervening promotion. The Office of Personnel realizes that the suggestion to resume two-grade promotions stems from employees who hope that the double promotions might occur as rapidly as the single promotions, but in that event the added cost would be more than \$700,000 annually. It is likely that there can be some reduction in the total lapsed time between GS-07 and 09, and 09 and 11, and a consequence would be some increase in the cost of promotions.

Approved For Release 2002/01/08 : CIA-RDP80-00473A000300070003-3

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RECOMMENDATION #7:

"Reinstitute/formalize a three year trial/probationary period for all newly hired employees."

COMMENT:

A three year trial period was established 10 May 1977 for all employees entering on duty after that date. Headquarters [redacted] Notices have been issued on the subject and regulations are being revised to reflect the change.

STATINTL

This is a new policy for the Agency. While prior to 1973 there was a three year Career Provisional program leading to Career status, the employment trial or probationary period remained at one year in accordance with Federal Government procedures and Title 5 requirements.

A copy of the Trial Period Notice is attached. The DCI's Head of Agency termination authority was delegated to the Director of Personnel for the three year period. Provision is made for the employee to appeal to the DCI when the Director of Personnel's decision is made in the third year.

5 JUL 1977

This Notice Expires 1 July 1978

STATINTL

PERSONNEL

24 June 1977

## EXTENSION OF THE TRIAL PERIOD FOR NEW EMPLOYEES

1. Effective 10 May 1977 the trial period for new employees of the Agency was extended from one year to three years. The trial or probationary period has been the subject of a detailed Agency study and it has been determined that one year does not provide an adequate time frame in which to make a reasoned judgment of an employee's abilities and talents. The Agency's tasks and assignments often require lengthy training periods for new employees, making it difficult to obtain meaningful performance evaluation after only 12 months of service. The three-year period will give both the employee and management a more realistic period for assessment of the individual's qualifications.

2. During the first two years of the trial period, involuntary termination of employment may be effected by the Director of Personnel on the recommendation of the Head of the employee's Career Service. During the third year of the trial period, involuntary termination of employment may also be effected by the Director of Personnel; however, the Director of Personnel's decision may be appealed to the Director of Central Intelligence for review.

3. The career selection process is a vitally important function in the management of the Agency, and it is essential that careful reviews and determinations be made during the trial period that employees do or do not meet Agency suitability standards for continued employment. The effectiveness of this depends on the thoroughness of the evaluation procedures used within each Career Service. Since the Fitness Report system is a key factor in documenting the evaluation of the employee's performance during the trial period, a recommendation, to be included as the first sentence of the narrative part of the Fitness Report, for either continuation of employment or termination, is required before the end of each year of the trial period. When the level of performance is in question, but management has determined that the employee deserves additional time or another assignment to provide the basis for further assessment, a separate memorandum, acknowledged by the employee, must be prepared to accompany the Fitness Report explaining the situation. Recommendations for termination, of course, need not be delayed to coincide with the due date of the Fitness Report but may be made anytime during the trial period.

STATINTL

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Approved For Release 2002/01/08 : CIA-RDP80-00473A000300070003-3

[REDACTED] PERSONNEL

24 June 1977

4. Proposals for termination during the trial period will be formalized in a memorandum from the Operating Official to the Head of the Career Service for recommendation to the Director of Personnel. Recommendations for termination after the second year of the trial period will include an explanation by the Head of the Career Service as to the factors that precluded an earlier recommendation for termination. Early resolution must be made of apparent cases of unsuitability or poor performance. Neither the employee nor the Agency benefits by the avoidance or delay of the management responsibility to determine whether new employees should be retained or not.

5. To provide for adequate advance notice to employees and time to present appeals, the following is the schedule for submission of Fitness Reports during the trial period:

At the end of 12 months of service  
At the end of 21 months of service  
At the end of 33 months of service

6. Agency regulations concerning this subject will be modified as appropriate to reflect this new policy.

FOR THE DIRECTOR OF CENTRAL INTELLIGENCE:

JOHN F. BLAKE  
Deputy Director  
for  
Administration

DISTRIBUTION: ALL EMPLOYEES

Approved For Release 2002/01/08 : CIA-RDP80-00473A000300070003-3

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RECOMMENDATION #8:

"Disseminate more widely career planning data, especially regarding ceilings, promotion rates, etc."

COMMENT:

At the present time information on the subject of career planning comes to employees largely from periodic generalized messages from career service officials in either written or oral form. Often, however, the message lacks specificity.

The handbooks published by each of the Career Services offer employees particulars about the selection and promotion process as it pertains. Developmental profiles, also currently available to employees of each of the Career Services, relate those considerations affecting management career development decisions and provide specific guidelines and a frame of reference for employees as they appraise their readiness for a career change. To further bolster the data available for career planning purposes, the Career Services might offer additional information from their Annual Personnel Plans (APP). Information relating to projections for the current planning year could cast more light on reassignment or promotion prospects for employee consumption, but some of this information may be too sensitive on--security grounds--for general release.

Individual career planning information is becoming available through each Career Service's counseling program. Career counselors appointed to serve within each of the Career Services have a responsibility for helping the employee to identify alternative choices of action. Career Boards and Panels and data from the Personnel Development Program (PDP) are vital sources of information for career counselors in their effort to help individual employees deal with career planning issues or concerns.

In early 1976 the Agency organized a Careers Committee to facilitate the exchange of information on career-related matters among the Career Services. One of the Career Committee objectives is "to encourage the development of realistic expectations among Agency employees relative to their Agency careers by periodically informing them of specific facts, policies, and other considerations bearing on employee development or reassignment decision making". It is the Committee's express intention to provide information to employees about career planning matters which will complement the efforts of the individual Career Services.

RECOMMENDATION #9:

"Examine the possibility of setting up distinct panels involved in evaluation and career planning for employee pool (GS-14/15) from which future supergrades will be drawn."

COMMENT:

1. The Personnel Development Plan (PDP) is the system currently utilized in the Agency whereby the Heads of Career Services identify officers at the GS-13 - 15 level as the future candidates for senior Directorate managerial and executive positions.

Such individuals are provided individualized training and development in managerial and executive skills and their on-going progressive development is to be closely monitored by the Career Service concerned.

2. The PDP system includes in its design provisions for:

(a) a formal annual reporting requirement from each Head of Career Service through the Director of Personnel to the DCI on actions taken in the identification and development planning of their "successor" candidates; and

(b) Discussion by each Head of Career Service with the DCI on the personnel identified in their PDP, their backgrounds, planned training and developmental assignments, and rationale for their selection.

3. The PDP as currently established and if fully implemented as designed has provided an effective mechanism for top management to monitor and evaluate the numbers and quality of the individuals identified for future Directorate senior managerial and executive positions and the specific training and assignments planned for their development.

4. Among the several Agency personnel management topics currently under consideration by the EAG, is the development of an EAG review mechanism to identify officers for development as candidates for future replacement of "Key Official" positions throughout the Agency.

The further refinement of this approach could include the identification of those senior Agency positions that required inter-Directorate experiences and orientation and the development of appropriate managerial and executive "standards" against which to develop a pool of potential successor candidates for such positions.

RECOMMENDATION #10:

STATINTL  
"Examine the desirability of developing procedures for disposition/handling of the lowest rank employee."

COMMENT:

[REDACTED] issued recently were revised to reflect current Agency policy and procedures for Separations, Voluntary and Involuntary.

STATINTL  
[REDACTED] is specifically addressed to the process for the identification of the bottom three percent of employees of any group ranked, Career Service review and action, and employee notification. Employees who are ranked in the low percentile for two successive years are subject to reassignment, downgrading or separation.

The identification of the lower percentile of employees has been Agency practice for a number of years, but the Career Services were allowed to establish their own percentiles and follow-up processes. The revised regulation formalizes a common policy and procedures for the Agency. As a follow-up to the policy, the APP requires a summary statistical report of the number of employees so identified and action taken in the individual cases.

RECOMMENDATION #36:

"Give the Suggestion Awards Committee sufficient authority to act on suggestions so that it does not serve as an intermediary between the "suggestor" and the component affected by the suggestion."

COMMENT:

1. The now designated Suggestion and Achievement Awards Committee already has sufficient authority to act on suggestions for the benefit of the U.S. Government and the Agency. The Committee does not serve only as an intermediary between the "suggestor" and the component affected by the suggestion.

2. The Committee has Agency-wide responsibility for the Suggestion, Invention and Achievement Awards Program. The six-voting members are appointed by top-Agency management as follows: the Director of Personnel is permanent chairman; the Director of Central Intelligence and the four Deputy Directors each appoint one member and one alternate. The Committee is responsible for: developing standards for awards and for procedures relating to such awards; and, for reviewing suggestions, inventions, special achievements or exceptional accomplishment cases, and for granting or recommending an appropriate award. (Reference: Paragraph c, [redacted] 4 February 1975).

3. The key objective of the Suggestion System is to improve the efficiency and effectiveness of Government and Agency operations by encouraging full use of employee skills and ideas. Generally speaking, this is an employee relations type program. The encouragement we give employees for their efforts is significant. Every possible adopted suggestion benefits management. The awards scale is relatively low and only pays for first-year savings and benefits; yet, many inventions and suggestions continue in effect for years with repeated benefits annually. For this reason, through the Committee mechanism, we seek positive evaluations of suggestions and considerations of every good reason as to why a given proposal should be adopted.

4. In instances where seemingly good ideas and proposals are recommended for decline by the evaluation components, the Committee may and does seek added study and more definitive explanation from the initial evaluators and may also use independent evaluators. Obviously, the Committee also has the authority to seek re-examination of substantive proposals through command channels. Finally, a suggestor may submit a proposal for reconsideration for up to two years from the date of the Committee's letter of decline.

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RECOMMENDATION #37:

"Eliminate the practice of awarding people for suggestions that should be considered integral parts of their jobs."

COMMENT:

1. Awards are not made for suggestions that are in fact simply a normal requirement of the duties of the individual's position. The Committee looks carefully at line of duty factors and does not vote for a cash award unless the suggestor's contribution is so superior as to warrant recognition. In most cases, the ideas and improvements that employees report or suggest have some relationship to their work. This is the logical area in which we could expect employees to perceive proposals for improvement.

2. Title 5, United States Code, Chapter 45, Incentive Awards, Section 4503, stipulates that: the head of an agency may pay cash awards to, and incur necessary expense for the honorary recognition of, an employee who: (a) by his/her suggestion, invention, superior accomplishment, or other personal effort contributes to the efficiency, economy, or other improvement of Government operations; or (2) performs a special act or service in the public interest in connection with or related to his/her official employment.

3. In administering Chapter 45, Title 5, United States Code, "Incentive Awards", the U.S. Civil Service Commission states that:

(a) There is no basis for excluding from the cash award program any officer or employee category because of grade level or type of duties involved.

(b) Contribution may be either (1) outside the employee's assignment, or (2) within the employee's assignment but so superior or meritorious as to warrant special recognition.

"Line of Duty" guidance information issued by CSC which we apply in judging job expectancy and awardability criteria is attached. This same guidance information is followed by other Government agencies in the administration of their awards program.

4. The essence of the Suggestion Program is the search for new ideas. We seek to acquire evaluations that are designed to explore fruitfully only the idea. Only when the full exploitation of the idea has been achieved, does the personality and job expectancy of the contributor come into play. That is only when an award is under consideration. In such instances our Committee has found that the attached CSC standards offer excellent guidance.

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## Line of Duty



From time to time the Commission receives requests for clarification on what is considered "line of duty." We hope the following will be helpful to you in this regard.

### Eligibility

- (1) The Government Employees Incentive Awards Act states, in part, that agencies may pay "cash awards to civilian officers or employees," and the law makes it quite evident that both Congress and the President intended the incentive awards program to be an all-inclusive, top-to-bottom program. There is no basis for excluding from the cash award program any officer or employee category because of grade level or type of duties involved.
- (2) Contributions may be either (1) outside the employee's assignment, or (2) within the employee's assignment but so superior or meritorious as to warrant special recognition.

Line of Duty One of the greatest problems in the incentive awards program is the determination of what constitutes line of duty. Some supervisors have interpreted this important element in such a manner that their programs have suffered accordingly. While the general approach of resolving doubts in favor of the employee is favored, this is not a give-away program. Awards should be granted only where justified and in proportion to the benefits that the Government derives from the contributions. The following should assist the people who are responsible for determining line of duty in connection with awards:

- (1) Normal Duties. No employee shall be paid an award for any contribution or performance which represents a part of the normal requirements of the duties of his position. The difficulty of interpreting the phrase "normal requirements" is obvious. Extreme interpretations of the term will result in either a minimum number of cash awards or in cash awards that cannot be fully justified. Good judgment can avoid both extremes. Consider position descriptions, performance requirement statements, supervisor's interpretations, etc. A factor which is often important is whether or not it was necessary to obtain the approval of higher authority in order to place a suggestion into effect. In making awards for superior performance, it is first necessary to determine the performance requirements of the employee's job. Then it must be determined to

- (2) Ideas from Supervisors or Management. Supervisors or management officials are eligible to receive awards for suggestions pertaining to work outside their area of supervision and which are adopted for use in organizational units other than their own. As the level of supervision rises in the organization, the breadth of areas of responsibility increases, thereby reducing the area in which supervisors' suggestions would be eligible for cash awards. Some positions by their very nature require the contribution of ideas regularly. Since such employees are paid in salary to contribute ideas it would ordinarily be inconsistent with the purpose of the law to give supplementary recognition by means of cash awards.
- (3) Ideas from Non-Supervisory Employees. Normal requirements for non-supervisory employees usually cover day-by-day production by following established processes and instructions, and using the materials and equipment provided. Suggestions or ideas pertaining to this immediate work area which the individual can place into operation without consulting higher authority and which affect his work alone would be considered as within normal duties. However, if the improvement idea is extended by management to other similar positions or other work areas, then a cash award is normally due.
- (4) Field Supervisory Employees. Supervisory positions often present a problem because of the rather wide local responsibilities assigned; for example, it may be held that the overall local responsibility of a field station payroll section chief automatically prevents cash awards to him for any contribution having to do with payroll matters. However, it must be kept in mind that policies and procedures for fiscal and payroll matters are as a rule promulgated from the main office and put out in the form of a handbook or manual. This also applies to other fields where the policies and procedures are standardized. Therefore, careful consideration should be given as to the supervisor's authority to authorize or effect changes. In these cases, a line might be drawn between local eligibility and eligibility elsewhere. If, in the above example, the section chief's suggestion is found to be of use outside his own office, in other stations or throughout his agency, he can properly be found ineligible for award on local use but eligible for award on non-local use.
- (5) Assigned Problems. If, in carrying out an assignment, an employee submits an idea above and beyond his assigned area of responsibility or the solution of the immediate problem assigned, or completes an assignment in a manner that is considered superior to that originally anticipated, cash award consideration is in order for either the idea or the superior performance.

RECOMMENDATION #39:

"Develop a systematic managerial development program to ensure individuals are trained in appropriate managerial skills before progressing to the next managerial level."

COMMENT:

1. The Personnel Development Program (PDP) instituted in the Agency in 1973 provides a systematic program along the lines of the proposal. It provides for the selection of certain officers in grades GS-13 and above who have evidenced talents for executive assignment, and an individually designed program to provide them with the basic training and experience needed to develop their managerial and executive skills. The programs, of course, are not identical for each officer but are tailored to the individual's requirements.

The Agency's internal Management Training Program has been designed and developed to meet the needs of Agency managers as they progress from one managerial level to the next. This begins with the first-line supervisor, who is exposed to the basic theories of good management and supervision in the "Fundamentals of Supervision and Management" Course to the most senior management courses designed for supergrade officers.

Planned internal training is supplemented when appropriate by courses offered by the U.S. Civil Service Commission, the American Management Association and similar institutions or at universities recognized for their management training programs such as at Harvard or Michigan.

2. If the proposal is meant to imply a rigid program of training courses for each upward move will produce qualified managers, we would have to question the premise. Such a requirement would produce little more than adherence to a program. Management can well be considered an art and not everyone can or should be expected to perform its arcane rites in exactly the same fashion. Granted some techniques can be taught, but when rigidly applied, without understanding or personal style, to the individual situations of employees and the disciplines being managed, it can become management for management's sake. It is not a productive process in these circumstances.

For an Agency such as CIA with its diverse disciplines and Directorate objectives, a rigid, inflexible developmental program would serve no effective purpose.

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In summary, the key to the development of successful managers is a responsible selection process, followed by a carefully developed program of training and experience designed for individual requirements. The PDP offers the Agency such a system; senior managers must insure it is effectively implemented.

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RECOMMENDATION #40:

"Expand the Directorate-level management intern program to the office and group-levels, giving potential managers opportunities for additional administration experience."

COMMENT:

Assumption: The Directorate-level management intern program referred to is the existing senior DD/A Personnel Rotation Program.

Agency management has for some time been concerned about the lack of multi-discipline development of Agency officers who might assume executive positions in the future. In an attempt to remedy this situation, the DD/A established a rotational program which will provide individuals with additional experiences in the diverse functions of Administration.

It is anticipated that a similar rotation program will be developed for officers at the GS-9-13 level, in order to provide potential managers with the opportunity to gain additional administrative experience.

However, since this venture is a relatively new one, final judgment must be reserved on its continuation or expansion until the success or failure of this first phase is determined.

The Personnel Development Plan, which is the present system utilized in the Agency for the identification and movement of qualified officers into higher managerial positions has not been properly used in many of the inter-Directorate and intra-Directorate rotational assignments and executive development Training Programs. The Deputies have been advised of this shortcoming and it is anticipated that all future officers involved in special rotational Programs and Executive Training will be PDP designated individuals.

~~INTERNAL USE ONLY~~  
RECOMMENDATION #41:

"Consider a managerial career service, enabling people to be evaluated and promoted on their managerial skills."

COMMENT:

1. The ramifications and need for conformation of separate managerial career service to be properly evaluated would require more time and study than allowed in this paper. Provided herein, however, are a few brief overview considerations of such a proposal. It should be noted beforehand that if the concern for a separate service is to insure the evaluation and promotion of managers, per se, the Agency system provides for the career development of both managers and specialists, and neither is advanced at the expense of the other. Contrary to the implication here is a sometimes expressed concern that managers are advanced more rapidly and to higher grades than specialists. Both viewpoints have their adherents.

2. While there may be some GS-13 positions considered to have managerial responsibilities, the more normal beginning locus for this function is at the GS-14 or GS-15 Branch Chief level. Prior to this level the status is usually that of a supervisor, with a meld of the responsibilities gradually developing until the grade GS-15 where the management responsibilities most often begin to assume the major importance. Agency practice has been to develop managers from the specialist body of employees, providing the experience and training needed for the development of the managerial skills over a period of time as the employee moves up the career ladder. This system has the advantage of developing managers with sufficient substantive knowledge to successfully handle the offices composed of specialist employees. The lack of intensive or sanctioned managerial training in this system may be considered a disadvantage, but when the individual is gradually . . . and properly . . . developed over a period of time, we believe the end result is the same.

3. There are two approaches to the concept of a separate managerial career service. Establish it at a sufficiently senior grade to allow for selection from the proven employee group who has moved from the specialist field into management, utilizing the particular specialist background as a base, or establish a career track designed only for management functions. Given the diverse operational cultures and objectives of the various Directorates of the Agency, we do not believe a single management track for the Agency as a whole would prove feasible. Further, as noted above, management responsibilities evolve gradually and it would be difficult to break them out as a totally separate function and isolate them from the full scope of duties necessary for development of the individual.

4. The current Agency system instituted for the development of managers is geared to the Agency's present decentralized personnel and career management philosophy and the rationale inherent in this particular approach. This system has been construed as being effective in meeting the requirements of the Directorates and in turn the Agency at large.

Date: 2/1/81

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To: Deputy Director for Administration

From: Executive Assistant to the DCI

ECT: Recommendations Summary

77-3693

REMARKS:

Attached is a list of the recommendations provided to the Director by the various MAG groups. Those with the check marks have either been accomplished by the Director or need no further analysis for his decision on implementation.

Would you please provide a pro/con summary on the other recommendations for the Director's decision? \*

STATINTL

[Redacted]  
Attachment

STATINTL

28 Jan  
[Redacted]

DDCI

Director of Administration

38. Support the MAG groups which are trying to solve the smoking/non-smoking area problem.

Answer:

Initiative has been taken in establishing no smoking areas as prescribed in GSA Bulletin FPMR D-143 dated 17 September 1976 and earlier pertinent publications.

Efforts began several years ago with the designation of no smoking areas in the cafeterias in the Ames and Hqs bldgs. Enforcement in these areas rests generally with the individual users and, to our knowledge, there have been no recent instances of non-compliance

A little over a year ago it came to our attention that smoking on elevators, in violation of posted signs, was becoming a problem. In an effort to reverse this trend we published an employee bulletin (copy attached) which directed its thrust toward encouraging courtesy and cooperation. We are not aware of any complaints since that time.

More recently, in response to FPMR D-143, we reviewed our provisions for non-smokers. One action that grew out of this review was the designation of no smoking areas in the library. Enforcement in this area rests primarily with the Library Staff.

So far as conference rooms are concerned, we are not aware of any that do not meet minimum ventilation criteria. Notwithstanding the ventilation aspect, decisions regarding smoking in conference rooms are normally made by the elements to which the areas are assigned.

STATINTL

[REDACTED]  
Chief/LSD 11 July 77



# EMPLOYEE BULLETIN

STATINTL

EB [REDACTED]

17 May 1976

## SMOKING IN ELEVATORS

1. A great deal has been written by doctors and clinical researchers in an effort to encourage the public to stop smoking. Evidence to support the fears of medical consequences is so strong that the Surgeon General has directed that every package of cigarettes bear a strong warning statement. Response to these efforts has been somewhat less than enthusiastic.
2. There are a great number of people, many of whom suffer from ill health, who have chosen not to smoke. In recognition of their rights, certain areas have been designated as "No Smoking" areas. Cooperation from most people has been excellent but smoking in elevators continues to be a problem. The confinement magnifies the discomfort caused by smoke and many people complain that even short exposures to burning cigarettes, cigars, and pipes often cause headaches and nausea.
3. In the spirit of cooperation, it is requested that smokers abstain from smoking in elevators.

DISTRIBUTION: ALL EMPLOYEES (1-6)

OK Ready

ATTACHMENT

GENERAL SERVICES ADMINISTRATION  
WASHINGTON, D. C. 20405

September 17, 1976

GSA BULLETIN FPMR D-143  
PUBLIC BUILDINGS AND SPACE

TO : Heads of Federal agencies

SUBJECT: Smoking in GSA-controlled buildings

1. Purpose. This bulletin notifies Federal agencies of the guidelines established by the General Services Administration for controlling smoking in public areas and large working areas in GSA-controlled buildings and facilities.
2. Expiration date. This bulletin contains information of a continuing nature and will remain in effect until canceled.
3. Background.
  - a. During the past several years, GSA has received numerous letters from nonsmokers requesting that smoking be prohibited either altogether or in certain areas of buildings under GSA jurisdiction. Answers to these letters emphasized the vast number of buildings and amount of space therein managed by GSA, involving hundreds of thousands of employees and visitors, and the impracticability of controlling smoking except in areas where inherent dangers are obvious.
  - b. In view of the continuing concern about this matter, further consideration was given in November 1973, to the finding of the Surgeon General, as reflected on each pack of cigarettes and in advertising, that cigarette smoking is dangerous to one's health and to studies by the Department of Health, Education, and Welfare showing that an atmosphere contaminated with tobacco smoke can contribute to the discomfort of many individuals. GSA Bulletin FPMR D-102, Smoking in GSA-controlled buildings, was issued November 27, 1973, setting forth guidelines.
4. Rights of employees. GSA recognizes the right of individuals working or visiting in GSA-controlled buildings or space to an environment which is reasonably free from contaminants. Consideration should also be given to the right of an employee to smoke under reasonable conditions as determined by the supervisor of the organizational unit to which he or she is assigned.
5. Action by agency officials and employees.
  - a. GSA requests that the agency head in each building take affirmative action to implement the guidelines set forth in this bulletin.

PC 650 RE PP PMS

GSA Bulletin FPMR D-143

September 17, 1976

b. The full cooperation of all supervisors and employees is requested in ensuring that an equitable balance is maintained between the rights of nonsmokers and those of smokers in implementing or enforcing the smoking guidelines set forth in par. 6.

6. Guidelines. Occupant agency officials are requested to observe the following guidelines:

a. Auditoriums and conference rooms. Smoking is not permitted in auditoriums. Action will be taken by each GSA buildings manager to post no smoking signs outside the entrances to auditoriums and to place receptacles for cigarette butts outside all entrances to auditoriums. Smoking may be permitted in conference rooms only (1) if they are properly ventilated, as jointly determined by each buildings manager and/or each area manager and each local head of each occupant agency, or (2) if they are equipped with mechanical air cleaners. If not, smoking should be prohibited in these areas, and signs and receptacles should be placed outside the entrances.

b. Cafeterias. No smoking areas should be established in cafeterias contracted by GSA. These areas should be designated by each GSA buildings manager in collaboration with the heads of occupant agencies based on an estimate of the relative number of smoking and nonsmoking patrons served, which may be adjusted on the basis of local experience. The no smoking areas should be identified by appropriate signs.

c. Elevators. Elevators should be designated as no smoking areas. No smoking signs should be posted in all elevators.

d. Shuttle vehicles. Smoking will be prohibited in shuttle vehicles under the jurisdiction of GSA. No smoking signs will be posted in all such vehicles.

e. Work areas. The establishment of no smoking work areas in large open space with many employees (e.g., engineering and drafting offices, typing pools, and card punch areas) should be thoroughly investigated. Supervisors should plan work space in such a way that employees who desire a no smoking area can be accommodated, provided that: (1) Efficiency of work units will not be impaired; (2) additional space will not be required; and (3) costly alterations to the space or procurement of additional office equipment will not be necessary. The no smoking areas should be identified by appropriate signs. In establishing and continuing a smoking policy in work areas under their jurisdiction, supervisors should strive to maintain an equitable balance between the rights of nonsmokers and those of smokers.

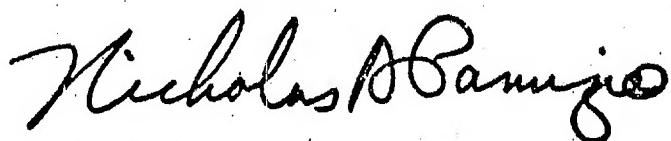
f. Medical care facilities. In medical clinics and employee health units, smoking should be restricted to visitor waiting areas,

September 17, 1970

GSA bulletin FPMR D-143

staff lounges, private offices, and specially designated areas. If possible and practical, waiting areas should be divided into smoking and no smoking areas.

7. Cancellation. GSA Bulletin FPMR D-102, issued November 27, 1973, is canceled.



NICHOLAS A. PANUZIO  
Commissioner  
Public Buildings Service

Director of Administration

16. Distribute "Notes from the Director" to every employee.

Answer:

The first three copies of notes from the Director were distributed among the Hqs areas in a ratio of one to six. This is considered standard distribution for all employees. This is consistent with the cost effective use of paper. Notes from the Director have been increased to one in three for the last several editions. If it should appear that significant number of employees are not having the opportunity to read "Notes" the distribution will be increased to one for every employee.

RFZ/6 July 77

STATINTL

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